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**Patent**  
**46147/55793-DIV****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of:

Applicant: Linda A. Sherman et al.

Serial No.: 09/774,681 Examiner: not yet assigned

Filed: February 1, 2001 Group Art Unit: not yet assigned

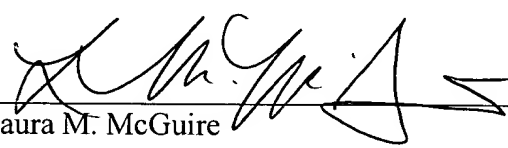
For: RECOMBINANT CONSTRUCTS-ENCODING T-CELL RECEPTORS  
SPECIFIC FOR HUMAN HLA-RESTRICTED TUMOR ANTIGENS

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that the following Transmittal of Power of Attorney is being deposited with the United States Postal Service in an envelope by first class mail, postage prepaid on July 18, 2001, addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Date: July 18, 2001

  
\_\_\_\_\_  
Laura M. McGuire

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**TRANSMITTAL LETTER**Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants submit the following documents as follows:


- 1) Revocation of prior Powers of Attorney and New Power of Attorney;
- 2) Statement Under 37 CFR 3.73(b)—Establishing Right of Assignee to Take Action;
- 3) Assignment (copy).

USSN 09/774,681  
Page 2

The Commissioner is hereby authorized to charge any fees that may be required to  
Deposit Account No. 04-1105.

Respectfully submitted,

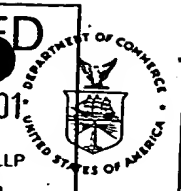
Date: July 18, 2001

  
\_\_\_\_\_  
Robert L. Buchanan  
Reg. No. 40,927

DIKE, BRONSTEIN, ROBERTS & CUSHMAN, LLP  
Intellectual Property Group of  
**EDWARDS & ANGELL, LLP**  
P.O. Box 9169  
Boston, MA 02209  
Phone: (617) 439-4444  
Fax: (617) 439-4170

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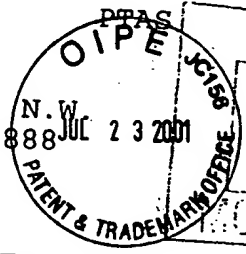
RECEIVED  
JUN 11 2001  
EDWARDS & ANGELL LLP  
DIKE BRONSTEIN  
ROBERTS CUSHMAN



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

BURUARY 12, 1998

BRISON & FOERSTER LLP  
TE H. MURASHIGE  
00 PENNSYLVANIA AVENUE,  
SHINGTON, D.C. 20006-1888



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\*100600043A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE  
PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE  
THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED  
NOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION  
CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE  
PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR  
QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE  
NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR  
CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION,  
WASHINGTON, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/05/1997

REEL/FRAME: 8864/0849  
NUMBER OF PAGES: 3

EF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
SHERMAN, LINDA A.

DOC DATE: 04/18/1997

ASSIGNOR:  
JUSTGARTEN, JOSEPH

DOC DATE: 04/18/1997

ASSIGNEE:  
SCRIPPS RESEARCH INSTITUTE, THE  
10550 NORTH TORREY PINES  
SAN JOLLA, CALIFORNIA 92037

SERIAL NUMBER: 08812393  
INVENTOR NUMBER:

FILING DATE: 03/05/1997  
ISSUE DATE:

BENNETT, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



**Practitioner's Docket No.** 31333-20001.01 **PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Linda A. Sherman et al.  
Application No.: 09 / 774681      Group No.: Not yet assigned  
Filed: February 1, 2001      Examiner: Npt yet assigned  
For: RECOMBINANT CONSTRUCTS ENCODING T-CELL RECEPTORS SPECIFIC  
FOR HUMAN HLA-RESTRICTED TUMOR ANTIGENS  
Issue Date: \_\_\_\_\_

Patent\*: \_\_\_\_\_  
Issue Date: \_\_\_\_\_

Reexamination No.: \_\_\_\_\_  
Issue Date: \_\_\_\_\_

Reissue: \_\_\_\_\_

\*NOTE: Insert name(s) of inventor(s) and title for patent.

**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**STATEMENT UNDER 37 C.F.R. § 3.73(b)—**  
**ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
*(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

- ☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231  
**37 C.F.R. § 1.8(a)**      **37 C.F.R. § 1.10\***  
☐ with sufficient postage as first class mail.      ☐ as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ **(mandatory)**

**TRANSMISSION**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date: \_\_\_\_\_  
Signature \_\_\_\_\_  
(type or print name of person certifying)

**\*WARNING:** Each paper or fee filed by Express Mail **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).  
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

NOTE: 37 CFR 3.73(b) states: "When an assignee seeks to take action in a matter before the Office with respect to a patent application, . . . , patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., reel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office."

NOTE: "Section 3.73(b) is amended to remove the sentence requiring an assignee to specifically state that the evidentiary documents have been reviewed and to certify that title is in the assignee seeking to take action. The sentence is deemed to be unnecessary in view of the amendment to §§ 1.4(d) and 10.18." Notice of Oct. 10, 1997, 62 Fed. Reg. 53,131, at 53,174.

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

### IDENTIFICATION OF ASSIGNEE

2. The Scripps Research Institute  
Name of assignee  
Non-profit Research Institute  
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

### PERSON AUTHORIZED TO SIGN

3. \_\_\_\_\_  
(type name of person authorized to sign on behalf of assignee)  
\_\_\_\_\_  
Title of person authorized to sign

NOTE: The Notice of April 30, 1993 (1150 O.G. 62-64) points out:

"The statement under 37 CFR 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation, partnership, university, government agency, etc.).

"(1) The statement may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to be an officer of the assignee or to have authority to sign the statement on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner an official of an assignee or empower the practitioner to sign the statement on behalf of the assignee.

"(2) The statement may be signed by any person, if the statement includes an averment that the person is empowered to sign the statement on behalf of the assignee and, if not signed by a registered practitioner, the statement must be in oath or declaration form. Where a statement does not include such an averment, and the person signing does not hold a position in the organization that would give rise to a presumption that the person is empowered to sign the statement on behalf of the assignee, evidence of the person's authority to sign will be required."

[Author's Note: The requirement for an oath or declaration for this statement by a person not a registered practitioner was rescinded by the rules effective December 1, 1997.]

(complete the following, if applicable)

- ☐ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

(Statement under 37 C.F.R. § 3.73(b) — Establishing Right of Assignee to Take Action [16-16]—page 2 of 4)

**BASIS OF ASSIGNEE'S INTEREST**

Ownership by the assignee is established as follows:

**A.**

1. ☒ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at  
Reel 8864, Frame 0849.
2. ☒ An assignment (document) separately being submitted for recordal herewith.

**AND/OR**

- B.** ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: \_\_\_\_\_  
Name of inventor(s)

To: \_\_\_\_\_

Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_

2. From: \_\_\_\_\_  
Name of inventor(s) or assignee

To: \_\_\_\_\_

Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_

3. From: \_\_\_\_\_  
Name of inventor(s) or assignee

To: \_\_\_\_\_

Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_

*(check item below, and add details, if applicable)*

- ☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

**COPIES OF DOCUMENTS IN CHAIN OF TITLE**

*(complete this item, if copies are being sent)*


- ☒ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:


<input checked="" type="checkbox"/> A	<input checked="" type="checkbox"/> 1	<input type="checkbox"/> 2	
<input type="checkbox"/> B	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3

Reg. No.: 40,927

Tel. No.: (617) 439-4444  
Fax: (617) 439-4170

Customer No.: 21874

  
\_\_\_\_\_  
(Signature of authorized person)  
Thomas Fitting  
\_\_\_\_\_  
(type or print name of authorized person)  
Chief Patent Counsel  
\_\_\_\_\_  
Title of authorized person

  
\_\_\_\_\_  
SIGNATURE OF PRACTITIONER  
Robert L. Buchanan  
\_\_\_\_\_  
(type or print name of practitioner)  
EDWARDS & ANGELL, LLP  
\_\_\_\_\_  
P.O. Address  
P. O. Box 9169, Boston, MA 02209  
\_\_\_\_\_

(Statement under 37 C.F.R. § 3.73(b) — Establishing Right of Assignee to Take Action [16-16]—page 4 of 4)



**Pratit n r' D k t N .** 31333-20001.01

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

☒ In re application of: Linda A. Sherman et al.

Application No.: 09 / 774681

Group No.: Not yet assigned

Filed: February 1, 2001

Examiner: Not yet assigned

For: RECOMBINANT CONSTRUCTS-ENCODING T-CELL RECEPTORS SPECIFIC  
FOR HUMAN HLA-RESTRICTED TUMOR ANTIGENS

☐ Patent No.:

Issued:

*\*NOTE: Insert name(s) of inventor(s) and title also for patent.*

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

**POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST  
(REVOCATION OF PRIOR POWERS):**

As assignee of record of the entire interest of the above identified.

☒ application,

☐ patent,

**REVOCATION OF PRIOR POWERS OF ATTORNEY**

all powers of attorney previously given are hereby revoked and

**NEW POWER OF ATTORNEY**

the following attorney(s) and/or agent(s) are hereby appointed to prosecute and transact all business in the Patent and Trademark Office connected therewith.

*(list name and registration number)*

David G. Conlin, Reg. No. 27,026

Peter F. Corless, Reg. No. 33,860

George W. Neuner, Reg. No. 26,964

Robert L. Buchanan, Reg. No. 40,927

Linda M. Buckley, Reg. No. 31,003

*(check the following item, if applicable)*

☒ Attached, as part of this power of attorney, is the authorization of the above-named attorney(s) to accept and follow instructions from my representative(s).

**SEND CORRESPONDENCE TO:**

Robert L. Buchanan  
EDWARDS & ANGELL, LLP  
P. O. Box 9169  
Boston, MA 02209

**DIRECT TELEPHONE CALLS TO:**

(617) 439-4444  
Fax: (617) 439-4170

Customer No.: 21874

The Scripps Research Institute  
(type or print identity of assignee of entire interest)

10550 N. Torrey Pines Road

Address  
LaJolla, CA 92037

- ☐ Recorded in PTO on \_\_\_\_\_  
Reel \_\_\_\_\_  
Frame \_\_\_\_\_  
☐ Recorded herewith

**ASSIGNEE STATEMENT**

Attached to this power is a "STATEMENT UNDER 37 C.F.R. § 3.73(b)."

  
Signature

Date June 28, 2001

Thomas Fitting  
(type or print name of person authorized to  
sign on behalf of assignee)

Chief Patent Counsel  
Title

NOTE: The assignee of the entire interest may revoke previous powers and be represented by an attorney of his or her selection. 37 C.F.R. § 1.36.

(check the following item, if it forms a part of this power of attorney)

- ☒ Added page—Authorization of attorney(s) to accept and follow instructions from representative.

(Power of Attorney by Assignee of Entire Interest [12-2]—page 2 of 2)

Application No. 08/812,393

Filed March 5, 1997

JUL 23 2001

01-08-1998

PATENT & TRADEMARK OFFICE



RECOR

100600043

PATENTS ONLY

DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Docket No. 313332000100

To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Linda A. Sherman, Joseph Lustgarten

- ☒ Individual(s)      ☐ Association  
☐ General Partnership      ☐ Limited Partnership  
☐ Corporation-State      ☐ Other

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

2. Name and address of receiving party(ies):

Name: The Scripps Research Institute  
Internal Address:  
Street Address: 10550 North Torrey Pines  
City: La Jolla, State: ZIP: 92037

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment      ☐ Merger  
☐ Security Agreement      ☐ Change of Name  
☐ Other:

Execution Date: April 18, 1997

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)      B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Kate H. Murashige  
Morrison & Foerster LLP  
2000 Pennsylvania Avenue, N.W.  
Washington, D.C. 20006-1888

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. § 3.41): \$40.00

- ☒ Enclosed  
☐ Authorized to be charged to deposit account, referencing Attorney Docket 313332000100

8. Deposit account number: 03-1952

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. § 1.21 that may be required by this paper, or to credit any overpayment to Deposit Account No. 03-1952.

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Name: Thomas G. Wiseman  
Registration No: 35,046

Signature

Date

Total number of pages comprising cover sheet, attachments and document: 1

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231

# ASSIGNMENT JOINT

THIS ASSIGNMENT, by Linda A. Sherman and Joseph Lustgarten (hereinafter referred to as the assignors), residing at LaJolla, California, witnesseth:

WHEREAS, said assignors have invented certain new and useful improvements in RECOMBINANT CONSTRUCTS ENCODING T CELL RECEPTORS SPECIFIC FOR HUMAN HLA-RESTRICTED TUMOR ANTIGENS, set forth in an application for Letters Patent of the United States, having an oath or declaration executed on even date herewith; bearing Serial No. \_\_\_\_\_ and filed on 5 March 1997; and

WHEREAS, The Scripps Research Institute, a corporation duly organized under and pursuant to the laws of California and having its principal place of business at 10550 North Torrey Pines Road, La Jolla, California 92037 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient considerations, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents does sell, assign, transfer and set over, unto said assignee, its successors, legal representatives and assigns, [as co-owners in undivided one-half interest respectively] the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use of said assignee, its successors, legal representatives and assigns.

4/18/97  
Date

4/18/97  
Date

Linda A. Sherman

Joseph Lustgarten

